

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

William Suttle PETERS et al.

Application No.: 09/869,923

Filed: October 15, 2001

For: HEART ASSIST DEVICES, SYSTEMS  
AND METHODS

Group Art Unit: 3738

Examiner: Unassigned

Confirmation No.: 2930

INFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTERAssistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed is an Information Disclosure Statement and accompanying form PTO-1449 for the above-identified patent application.

- ☒ [X] No additional fee for submission of an IDS is required.
- ☐ [ ] The fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) is also enclosed.
- ☐ [ ] A certification under 37 C.F.R. § 1.97(e) is also enclosed.
- ☐ [ ] A certification under 37 C.F.R. § 1.97(e), and the fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) are also enclosed.
- ☐ [ ] Charge \$\_\_\_\_\_ to Deposit Account No. 02-4800 for the fee due.
- ☐ [ ] A check in the amount of \$\_\_\_\_\_ is enclosed for the fee due.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,

BURNS, DOANE, SWECKER &amp; MATHIS, L.L.P.

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By:

*Elaine P. Spector*  
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Date: October 1, 2002

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Patent  
Attorney's Docket No. 033376-001

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**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98.

Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited are enclosed.

U.S. Patent No. 4,014,318;

U.S. Patent No. 4,051,840;

U.S. Patent No. 4,697,574;

U.S. Patent No. 5,569,156;

U.S. Patent No. 6,030,336;

U.S. Patent No. 6,066,085;

Seymour Furman et al., "Cardiac Support by Periaortic Diastolic Augmentation", New York Journal of Medicine, August 1, 1970, pp. 1964-1969; and

J.L. Stewart, "Aortic Cuff a Cardiac Assistance Device", Polytechnic Institute of Brooklyn, 1968, pp. 9-108.

The documents are being submitted within 3 months of the filing or entry of the national stage of this application or before the first Office Action on the merits, whichever is later, therefore under 37 C.F.R. § 1.97(b) no fee or statement is required.

To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner-initialed copy of this form be returned to the undersigned.

Respectfully submitted,

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Date: October 1, 2002